

EXHIBIT B-2

5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE
Reportable Events
Regulator Archive and Z Records

3
9
10

TWPL00001135

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

TWPL00001136

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496496
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5099266
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001137

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Composite Information:

Full Legal Name: CHIRIYANKANDATH MR., JOSEPH GEORGE

Year of Birth: 1981

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 5099266

Other Names Known By: GEORGE, JOSEPH

Year of Birth: 1981

Registrations with Previous Employer(s):

From 02/06/2006 To 12/06/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001138

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	06/05/2006
ARCA	GS	12/20/2007	TERMED	03/02/2006
CA	AG	12/20/2007	TERMED	03/15/2006
FINRA	GS	12/20/2007	TERMED	03/02/2006
FINRA	RS	12/20/2007	TERMED	03/22/2006
MA	AG	12/20/2007	TERMED	03/15/2006
NQX	GS	12/20/2007	TERMED	07/12/2006
NY	AG	12/20/2007	TERMED	03/15/2006
NYSE	GS	12/20/2007	TERMED	06/05/2006
NYSE	RS	12/20/2007	TERMED	03/22/2006

Professional Designations:

<< None found for this Individual: CHIRIYANKANDATH MR., JOSEPH GEORGE >>

Employment History:

From 02/2006 To Present:	<p>Name: THOMAS WEISEL PARTNERS LLC</p> <p>Location: MUMBAI, INDIA</p> <p>Position: ASSOCIATE</p> <p>Investment Related: Yes</p>
From 10/2004 To 02/2006	<p>Name: MORGAN STANLEY CAPITAL INTERNATIONAL SERVICES PRIVATE</p> <p>Location: MUMBAI, INDIA</p> <p>Position: ANALYST</p> <p>Investment Related: Yes</p>
From 06/2002 To 10/2004	<p>Name: RSM & CO</p> <p>Location: MUMBAI, INDIA</p> <p>Position: QUALIFIED ASSISTANT</p> <p>Investment Related: No</p>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001139

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Employment History (cont) :

From 08/2000 To 06/2002	Name:	K.G.SHAH&CO
	Location:	MUMBAI, INDIA
	Position:	ARTICLED CLERK
	Investment Related:	No
From 06/1997 To 08/2000	Name:	R.A.PODAR COLLEGE OF COMMERCE & ECONOMICS
	Location:	MUMBAI, INDIA
	Position:	STUDENT
	Investment Related:	No
From 06/1991 To 06/1997	Name:	ST. XAVIER'S HIGH SCHOOL
	Location:	MUMBAI, INDIA
	Position:	STUDENT
	Investment Related:	No

Office of Employment History:

From 02/2006 To 12/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address
Branch #	Code Number	Code	Start Date	End Date	Address
118143	018		02/06/2006	12/06/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA
			Registered Location?	Y	Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001140

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	03/15/2006	03/13/2006	PASSED	86	02/15/2006-06/15/2006
S7	OFFICIAL_RESULT	03/02/2006	02/28/2006	PASSED	86	02/14/2006-06/14/2006
S86	OFFICIAL_WAIVR	03/17/2006				03/03/2006-07/01/2006
S87	OFFICIAL_RESULT	03/22/2006	03/20/2006	PASSED	74	03/03/2006-07/01/2006

CE Regulatory Element Status:

Current CE Status: REQUIRED

CE Base Date: 03/02/2006

Current CE

Requirement Type	Status	Current Window	Session	Status Date	Result
Anniversary	REQUIRED	03/02/2008-06/29/2008	101	03/03/2008	03/03/2008-

Next CE

Requirement Window	Requirement Type	Session
03/02/2011-06/29/2011	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

Filing History:

Filing Date	Form Type	Filing Type	Source
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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001141

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/29/2006	U4	CONVERSION	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
03/02/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
02/14/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
02/13/2006	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001142

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001143

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001144

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 10

Individual: 5099266 - CHIRIYANKANDATH MR., JOSEPH GEORGE

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001145

5409616 - GUPTA MR., KARAN	3
Reportable Events	8
Regulator Archive and Z Records	9

TWPL00001146

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

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TWPL00001147

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496498

Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5409616
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001148

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 5409616 - GUPTA MR., KARAN

Administrative Information:

Composite Information:

Full Legal Name: GUPTA MR., KARAN

Year of Birth: 1981

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 5409616

Other Names Known By: GUPTA, KARAN

Year of Birth: 1981

Registrations with Previous Employer(s):

From 07/23/2007 To 12/03/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001149

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5409616 - GUPTA MR., KARAN

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	T_NOREG	
ARCA	GS	12/20/2007	T_NOREG	
CA	AG	12/20/2007	T_NOREG	
FINRA	GS	12/20/2007	T_NOREG	
IL	AG	12/20/2007	T_NOREG	
MA	AG	12/20/2007	T_NOREG	
MD	AG	12/20/2007	T_NOREG	
NQX	GS	12/20/2007	T_NOREG	
NSX	GS	12/20/2007	T_NOREG	
NY	AG	12/20/2007	T_NOREG	
NYSE	GS	12/20/2007	T_NOREG	
OH	AG	12/20/2007	T_NOREG	

Professional Designations:

<< None found for this Individual: GUPTA MR., KARAN >>

Employment History:

From 07/2007 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: RESEARCH ASSOCIATE Investment Related: Yes
From 07/2006 To 06/2007	Name: IREVNA RESEARCH SERVICES LIMITED Location: CHENNAI, INDIA Position: MANAGER Investment Related: Yes
From 01/2006 To 06/2006	Name: UINVERSITA COMMERCIALE LUIGI BOCCONI Location: MILAN, ITALY Position: FULL-TIME STUDENT Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001150

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 5409616 - GUPTA MR., KARAN

Administrative Information:

Employment History (cont) :

From 07/2004 To 12/2005 Name: ASIAN INSTITUTE OF MANGEMENT
 Location: MANILA, PHILIPPINES
 Position: FULL-TIME STUDENT
 Investment Related: No

From 08/2002 To 06/2004 Name: UNIVERSAL COMMERCIAL CORPORATION
 Location: KOLKATA, INDIA
 Position: FINANCE EXECUTIVE
 Investment Related: No

From 07/1999 To 07/2002 Name: ST. XAVIER'S COLLEGE
 Location: KOLKATA, INDIA
 Position: FULL-TIME STUDENT
 Investment Related: No

From 05/1995 To 06/1999 Name: DON BOSCO SCHOOL
 Location: KOLKATA, INDIA
 Position: FULL-TIME STUDENT
 Investment Related: No

Office of Employment History:

From 07/2007 To 12/2007

Name: THOMAS WEISEL PARTNERS LLC (46237)
 Independent Contractor: No

Office of Employment Address:

CRD	NYSE Branch	Firm	Billing	Address	Address
<u>Branch #</u>	<u>Code Number</u>	<u>Code</u>	<u>Start Date</u>	<u>End Date</u>	<u>Address</u>
118143	018		07/23/2007	12/03/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location? Y Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001151

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5409616 - GUPTA MR., KARAN

Administrative Information:

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	EXPIRED	01/28/2008				09/28/2007-01/26/2008
S7	WITHDRAW	12/20/2007				09/28/2007-01/26/2008

CE Regulatory Element Status:

Current CE Status: NOCESTATUS

CE Base Date:

Current CE

<<No Current CE Session Found >>

Next CE

<<No Next CE Found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
09/27/2007	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001152

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 5409616 - GUPTA MR., KARAN

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001153

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5409616 - GUPTA MR., KARAN

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001154

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 5409616 - GUPTA MR., KARAN

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001155

5396557 - VORA, KUNAL DIPAK
Reportable Events
Regulator Archive and Z Records

3
8
9

TWPL00001156

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

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TWPL00001157

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496504
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5396557
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001158

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 5396557 - VORA, KUNAL DIPAK

Administrative Information:

Composite Information:

Full Legal Name: VORA, KUNAL DIPAK

Year of Birth: 1980

State of Residence:

<<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 5396557

Other Names Known By: VORA, KUNAL

Year of Birth: 1980

Registrations with Previous Employer(s):

From 06/29/2007 To 11/30/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001159

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5396557 - VORA, KUNAL DIPAK

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	T_NOREG	
ARCA	GS	12/20/2007	T_NOREG	
CA	AG	12/20/2007	T_NOREG	
FINRA	GS	12/20/2007	T_NOREG	
MA	AG	12/20/2007	T_NOREG	
NQX	GS	12/20/2007	T_NOREG	
NY	AG	12/20/2007	T_NOREG	
NYSE	GS	12/20/2007	T_NOREG	

Professional Designations:

<< None found for this Individual: VORA, KUNAL DIPAK >>

Employment History:

From 06/2007 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: ASSOCIATE Investment Related: Yes
From 07/2006 To 06/2007	Name: MORGAN STANLEY ADVANTAGE SERVICES Location: MUMBAI, INDIA Position: ASSOCIATE Investment Related: Yes
From 11/2004 To 06/2006	Name: COLGATE PALMOLIVE INDIA LIMITED Location: MUMBAI, INDIA Position: ASSISTANT MANAGER - TREASURY Investment Related: No
From 01/2003 To 11/2004	Name: HINDUSTAN PETROLUUM CORP LTD Location: MUMBAI, INDIA Position: SR ACCOUNTS OFFICER Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001160

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 5396557 - VORA, KUNAL DIPAK

Administrative Information:

Employment History (cont) :

From 01/2001 To 12/2002	Name:	KHIMJI KUNVERJI & CO
	Location:	MUMBAI, INDIA
	Position:	ARTICLESHIP FOR CHARTERED ACCOUNTANT
	Investment Related:	No
From 06/1999 To 12/2000	Name:	GALA & GALA
	Location:	MUMBAI, INDIA
	Position:	ARTICLESHIP FOR CHARTERED ACCOUNTANT
	Investment Related:	No
From 05/1995 To 06/1999	Name:	STUDENT
	Location:	MUMBAI, INDIA
	Position:	STUDENT
	Investment Related:	No

Office of Employment History:

From 06/2007 To 11/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

Office of Employment Address:

CRD	NYSE Branch	Firm Billing	Address	Address	Address
<u>Branch #</u>	<u>Code Number</u>	<u>Code</u>	<u>Start Date</u>	<u>End Date</u>	<u>Address</u>
118143	018		06/29/2007	11/30/2007	55/56, FREE PRESS HOUSE
					215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA
			Registered Location?	Y	Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001161

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5396557 - VORA, KUNAL DIPAK

Administrative Information:

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	10/10/2007	10/09/2007	PASSED	76	09/12/2007-01/10/2008
S7	WITHDRAW	12/20/2007				09/12/2007-01/10/2008

CE Regulatory Element Status:

Current CE Status: NOCESTATUS

CE Base Date:

Current CE

<<No Current CE Session Found >>

Next CE

<<No Next CE Found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
09/11/2007	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001162

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 5396557 - VORA, KUNAL DIPAK

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001163

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5396557 - VORA, KUNAL DIPAK

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001164

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 5396557 - VORA, KUNAL DIPAK

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001165

5107093 - GANTI, LAKSHMINARAYANA
Reportable Events
Regulator Archive and Z Records

3
9
10

TWPL00001166

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

TWPL00001167

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496507

Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5107093
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001168

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Composite Information:

Full Legal Name: GANTI, LAKSHMINARAYANA

Year of Birth: 1974

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 5107093

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1974

Registrations with Previous Employer(s):

From 02/20/2006 To 12/06/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001169

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	06/19/2006
ARCA	GS	12/20/2007	TERMED	05/01/2006
CA	AG	12/20/2007	TERMED	05/01/2006
FINRA	GS	12/20/2007	TERMED	05/01/2006
FINRA	RS	12/20/2007	TERMED	07/12/2006
MA	AG	12/20/2007	TERMED	05/01/2006
NQX	GS	12/20/2007	TERMED	07/12/2006
NY	AG	12/20/2007	TERMED	05/01/2006
NYSE	GS	12/20/2007	TERMED	06/19/2006
NYSE	RS	12/20/2007	TERMED	07/12/2006

Professional Designations:

<< None found for this Individual: GANTI, LAKSHMINARAYANA >>

Employment History:

From 02/2006 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, MAHARASHTRA, INDIA Position: RESEARCH ANALYST Investment Related: Yes
From 06/2003 To 02/2006	Name: GENPACT (FORMERLY GE CAPITAL INTERNATIONAL SERVICES) Location: BANGALORE, KARNATAKA, INDIA Position: MANAGER Investment Related: Yes
From 05/2001 To 06/2003	Name: KOTAK INVESTMENT BANKING Location: MUMBAI, MAHARASHTRA, INDIA Position: ASSOCIATE, INVESTMENT BANKING Investment Related: Yes

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001170

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Employment History (cont) :

From 06/1999 To 04/2001	Name:	INDIAN INSTITUTE OF MANAGEMENT CALCUTTA
	Location:	KOLKATA, WEST BENGAL, INDIA
	Position:	MBA STUDENT
	Investment Related:	Yes
From 12/1996 To 05/1999	Name:	SATYAM COMPUTER SERVICES LTD.
	Location:	HYDERABAD, ANDHRAPRADESH, INDIA
	Position:	SENIOR SOFTWARE ENGINEER
	Investment Related:	No
From 06/1996 To 12/1996	Name:	BALLARPUR INDUSTRIES LTD
	Location:	KAMALAPURAM, WARANGAL, ANDHRAPRADESH, INDIA
	Position:	GRADUATE ENGINEER TRAINEE
	Investment Related:	No
From 05/1995 To 05/1996	Name:	ANDHRA UNIVERSITY COLLEGE OF ENGINEERING
	Location:	VISAKHAPATNAM, ANDHRA PRADESH, INDIA
	Position:	MECHANICAL ENGINEERING STUDENT
	Investment Related:	No

Office of Employment History:

From 02/2006 To 12/2007

Name:	THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor:	No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
118143	018		02/20/2006	12/06/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location? Y Type of Office: Located At

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001171

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	03/31/2006	03/30/2006	PASSED	86	03/14/2006-07/12/2006
S7	OFFICIAL_RESULT	05/01/2006	04/27/2006	PASSED	85	03/03/2006-07/01/2006
S86	OFFICIAL_RESULT	05/17/2006	05/16/2006	PASSED	89	05/02/2006-08/30/2006
S87	OFFICIAL_RESULT	07/12/2006	07/11/2006	PASSED	74	06/29/2006-10/27/2006
S87	OFFICIAL_RESULT	05/31/2006	05/30/2006	FAILED	70	05/02/2006-08/30/2006

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 05/01/2006

Current CE

<<No Current CE Session Found >>

Next CE

Requirement Window	Requirement Type	Session
05/01/2008-08/28/2008	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001172

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/29/2006	U4	CONVERSION	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
06/12/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
05/01/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
03/10/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
03/02/2006	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001173

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001174

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001175

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 10

Individual: 5107093 - GANTI, LAKSHMINARAYANA

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001176

4344024 - DUBEY, PREETI
Reportable Events
Regulator Archive and Z Records

3
12
13

TWPL00001188

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

TWPL00001189

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496510
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	4344024
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001190

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Composite Information:

Full Legal Name: DUBEY, PREETI

Year of Birth: 1975

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 4344024

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1975

Registrations with Previous Employer(s):

From 04/24/2006 To 11/30/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001191

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	08/21/2006
ARCA	GS	12/20/2007	TERMED	06/12/2006
CA	AG	12/20/2007	TERMED	06/12/2006
FINRA	GS	12/20/2007	TERMED	06/12/2006
FINRA	RS	12/20/2007	TERMED	07/07/2006
MA	AG	12/20/2007	TERMED	06/12/2006
NQX	GS	12/20/2007	TERMED	07/12/2006
NY	AG	12/20/2007	TERMED	06/12/2006
NYSE	GS	12/20/2007	TERMED	08/21/2006
NYSE	RS	12/20/2007	TERMED	07/07/2006

From 05/01/2002 To 07/03/2003

STIFEL, NICOLAUS & COMPANY, INCORPORATED(793)

Reason for Termination:

Voluntary

Termination Comment:

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	07/07/2003	TERMED	05/16/2002
CA	AG	07/07/2003	TERMED	08/19/2002
CBOE	GS	07/07/2003	TERMED	05/16/2002
FINRA	GS	07/07/2003	TERMED	05/16/2002
NYSE	GS	07/07/2003	TERMED	05/16/2002
PHLX	GS	07/07/2003	TERMED	05/16/2002

From 07/24/2000 To 08/31/2001

TUCKER ANTHONY INCORPORATED(837)

Reason for Termination:

Voluntary

Termination Comment:

Regulator	Registration Category	Status Date	Registration Status	Approval Date
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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001192

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 5

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	10/04/2001	TERMED	02/12/2001
ARCA	GS	10/04/2001	TERMED	02/12/2001
CBOE	GS	10/04/2001	TERMED	02/12/2001
FINRA	GS	10/04/2001	TERMED	02/12/2001
NYSE	GS	10/04/2001	TERMED	02/12/2001

Professional Designations:

<< None found for this Individual: DUBEY, PREETI >>

Employment History:

From 04/2006 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: RESEARCH ANALYST Investment Related: Yes
From 03/2005 To 03/2006	Name: PROXIMARE INC Location: MUMBAI, INDIA Position: SENIOR RESEARCH ANALYST Investment Related: No
From 12/2003 To 02/2005	Name: STRATEGIC CAPITAL VENTURES LIMITED Location: MUMBAI, INDIA Position: RESEARCH ANALYST Investment Related: Yes
From 07/2003 To 11/2003	Name: UNEMPLOYED Location: MUMBAI, INDIA Position: UNEMPLOYED Investment Related: No
From 05/2002 To 07/2003	Name: STIFEL NICOLAUS & CO Location: SANTA CLARA, CA USA Position: RESEARCH ASSOCIATE Investment Related: Yes

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001193

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Employment History (cont) :

From 12/2001 To 05/2002	Name: SELF EMPLOYED Location: SANTA CLARA, CA USA Position: ANALYST Investment Related: No
From 09/2001 To 12/2001	Name: SELF EMPLOYED Location: FREMONT, CA USA Position: ANALYST Investment Related: No
From 07/2000 To 08/2001	Name: TUCKER ANTHONY INCORPORATED Location: MILWAUKEE, WI UNITED STATES Position: ASSOCIATE ANALYST - RESEARCH Investment Related: Yes
From 06/2000 To 06/2000	Name: UNEMPLOYED Location: MADISON, WI Position: UNEMPLOYED Investment Related: No
From 09/1998 To 05/2000	Name: UNIVERSITY OF WISCONSIN SYSTEM Location: MADISON, WI UNITED STATES Position: PROJECT ASSISTANT Investment Related: No
From 06/1998 To 08/1998	Name: NICHOLAS APPLGATE CAPITAL MANAGEMENT Location: SAN DIEGO, CA UNITED STATES Position: SUMMER INTERN Investment Related: Yes
From 01/1998 To 05/1998	Name: UNIVERSITY OF WISCONSIN SYSTEM Location: MADISON, WI UNITED STATES Position: TEACHING ASSISTANT Investment Related: No
From 01/1990 To 01/1998	Name: UNEMPLOYED Location: MUMBAI, INDIA Position: FULL-TIME STUDENT Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001194

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Office of Employment History:

From 04/2006 To 11/2007

Name: THOMAS WEISEL PARTNERS LLC (46237)
 Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
118143	018		04/24/2006	11/30/2007	55/56, FREE PRESS HOUSE 215, FREE PRESS JOURNAL MARG, NARIMAN MUMBAI, 400 021 INDIA

Registered Location? Y Type of Office: Located At

From 05/2002 To 07/2003

Name: STIFEL, NICOLAUS & COMPANY, INCORPORATED
 (793)
 Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
		00793	05/01/2002	07/03/2003	1535 VISTA CLUB CIRCLE APT #301 SANTA CLARA, CA 95054 USA

Registered Location? N Type of Office: Located At

From 07/2000 To 08/2001

Name: TUCKER ANTHONY INCORPORATED (837)
 Independent Contractor: No

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001195

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
		C400	07/24/2000	08/31/2001	ONE WORLD FINANCIAL CENTER 200 LIBERTY STREET NEW YORK, NY 10281 UNITED STATES
Registered Location?			N	Type of Office:	Located At

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	05/31/2006	05/29/2006	PASSED	78	05/02/2006-08/30/2006
S63	OFFICIAL_RESULT	08/19/2002	08/16/2002	PASSED	78	07/30/2002-11/27/2002
S7	OFFICIAL_RESULT	06/12/2006	06/08/2006	PASSED	86	05/02/2006-08/30/2006
S7	OFFICIAL_RESULT	02/12/2001	02/09/2001	PASSED	85	01/26/2001-05/26/2001
S86	OFFICIAL_WAIVR	07/07/2006				06/13/2006-10/11/2006
S87	OFFICIAL_RESULT	07/03/2006	06/30/2006	PASSED	90	06/13/2006-10/11/2006

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 06/12/2006

Current CE

<<No Current CE Session Found >>

Next CE

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001196

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Requirement Window	Requirement Type	Session
06/12/2008-10/09/2008	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	REQUIRED	02/12/2003-06/11/2003	101	02/12/2003	02/12/2003-
Anniversary	SATISFIED	02/12/2003-06/11/2003	101	04/25/2003	04/25/2003- CMPLT

Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
07/29/2006	U4	CONVERSION	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
06/12/2006	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
05/01/2006	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
08/19/2003	U5	AMENDMENT	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
07/07/2003	U5	FULL	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
07/29/2002	U4	AMENDMENT	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001197

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 10

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
05/16/2002	U4	INITIAL	Org CRD# 793 STIFEL, NICOLAUS & COMPANY, INCORPORATED
10/04/2001	U5	FULL	Org CRD# 837 TUCKER ANTHONY INCORPORATED
07/05/2001	U4	AMENDMENT	Org CRD# 837 TUCKER ANTHONY INCORPORATED
01/25/2001	U4	INITIAL	Org CRD# 837 TUCKER ANTHONY INCORPORATED

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001198

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 11

Individual: 4344024 - DUBEY, PREETI

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001199

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 12

Individual: 4344024 - DUBEY, PREETI

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001200

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 13

Individual: 4344024 - DUBEY, PREETI

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001201

5301960 - ABHISHEIK, SHASHANK	3
Reportable Events	9
Regulator Archive and Z Records	10

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 1

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

TWPL00001203

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 2

Details for Request# 4496511
 Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5301960
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
Is this a Pre-Registration Report Request?	No
User Initials	KS

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001204

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 3

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Composite Information:

Full Legal Name: ABHISHEIK, SHASHANK

Year of Birth: 1980

State of Residence: <<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 5301960

Other Names Known By: <<No Other Names found for this Individual.>>

Year of Birth: 1980

Registrations with Previous Employer(s):

From 02/15/2007 To 12/06/2007 THOMAS WEISEL PARTNERS LLC(46237)

Reason for Termination: Voluntary

Termination Comment:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001205

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 4

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/20/2007	TERMED	10/15/2007
ARCA	GS	12/20/2007	TERMED	10/15/2007
CA	AG	12/20/2007	TERMED	10/15/2007
FINRA	GS	12/20/2007	TERMED	10/15/2007
FINRA	RS	11/07/2007	T_NOREG	
MA	AG	12/20/2007	TERMED	10/15/2007
NQX	GS	12/20/2007	TERMED	10/15/2007
NY	AG	12/20/2007	TERMED	10/15/2007
NYSE	GS	12/20/2007	TERMED	10/15/2007
NYSE	RS	11/07/2007	T_NOREG	

Professional Designations:

<< None found for this Individual: ABHISHEIK, SHASHANK >>

Employment History:

From 02/2007 To Present:	Name: THOMAS WEISEL PARTNERS LLC Location: MUMBAI, INDIA Position: RESEARCH ASSOCIATE Investment Related: Yes
From 05/2006 To 02/2007	Name: GOLDMAN SACHS SERVICES PRIVATE LIMITED Location: BANGALORE, INDIA Position: RESEARCH ANALYST Investment Related: Yes
From 06/2004 To 04/2006	Name: XLRI SCHOOL OF MANAGEMENT Location: JAMSHEDPUR, INDIA Position: FULL TIME STUDENT Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001206

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Page 5

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Employment History (cont) :

From 08/2003 To 06/2004 **Name:** IMS LEARNING RESOURCE PRIVATE
 LIMITED
Location: MUMBAI, INDIA
Position: INSTRUCTOR
Investment Related: No

From 08/1999 To 06/2003 Name: B N COLLEGE OF ENGINEERING
Location: PUSAD, INDIA
Position: FULL TIME STUDENT
Investment Related: No

From 03/1998 To 08/1999 Name: UNEMPLOYED
Location: MUMBAI, INDIA
Position: UNEMPLOYED
Investment Related: No

From 06/1996 To 03/1998 Name: DAV JAWAHAR VIDYA MANDIR HIGH SCHOOL
Location: RANCHI, INDIA
Position: FULL TIME STUDENT
Investment Related: No

Office of Employment History:

From 02/2007 To 12/2007

Name: THOMAS WEISEL PARTNERS LLC (46237)
Independent Contractor: No

Office of Employment Address:

CRD	NYSE Branch	Firm Billing	Address	Address	
<u>Branch #</u>	<u>Code</u>	<u>Number</u>	<u>Code</u>	<u>Start Date</u>	<u>End Date</u>
118143	018			02/15/2007	12/06/2007
					55/56, FREE PRESS
					HOUSE
					215, FREE PRESS
					JOURNAL MARG, NARIMAN
					MUMBAI, 400 021
					INDIA
					Located At
					Registered Location? Y Type of Office:

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 6

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	05/15/2007	05/14/2007	PASSED	73	04/10/2007-08/08/2007
S7	OFFICIAL_RESULT	10/15/2007	10/13/2007	PASSED	74	08/29/2007-12/27/2007
S7	EXPIRED	08/09/2007				04/10/2007-08/08/2007
S86	WITHDRAW	11/07/2007				10/16/2007-02/13/2008
S87	OFFICIAL RESULT	10/29/2007	10/26/2007	PASSED	76	10/16/2007-02/13/2008

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 10/15/2007

Current CE

<<No Current CE Session Found >>

Next CE

Requirement Window	Requirement Type	Session
10/15/2009-02/11/2010	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001208

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 7

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Filing History:

Filing Date	Form Type	Filing Type	Source
12/20/2007	U5	FULL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
11/07/2007	U5	PARTIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
10/15/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
08/28/2007	U4	AMENDMENT	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC
04/09/2007	U4	INITIAL	Org CRD# 46237 THOMAS WEISEL PARTNERS LLC

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001209

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 8

Individual: 5301960 - ABHISHEIK, SHASHANK

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001210

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 9

Individual: 5301960 - ABHISHEIK, SHASHANK

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001211

CRD® or IARD(SM) System - Current As Of 04/16/2008 11:41 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: 46237 - THOMAS WEISEL PARTNERS LLC

Request Submitted: 04/17/2008

Page 10

Individual: 5301960 - ABHISHEIK, SHASHANK

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

TWPL00001212